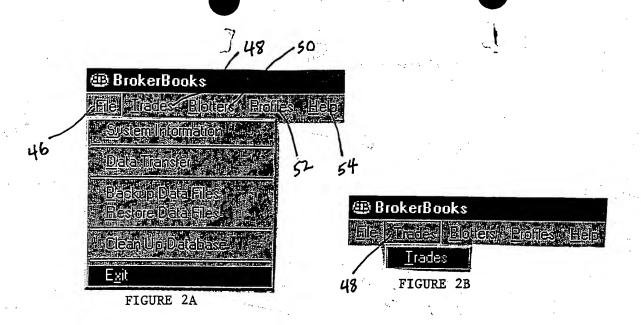
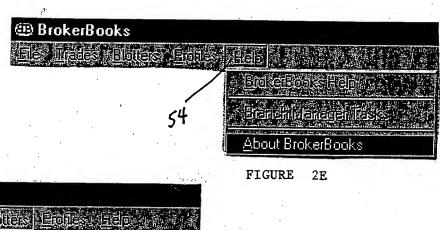


Fig_/





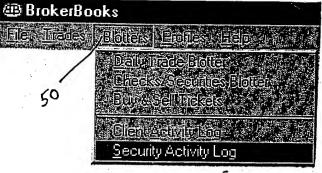


FIGURE 2C

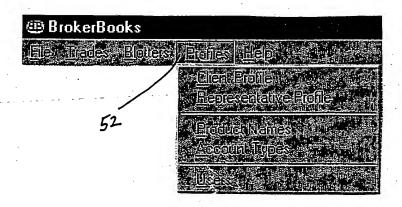
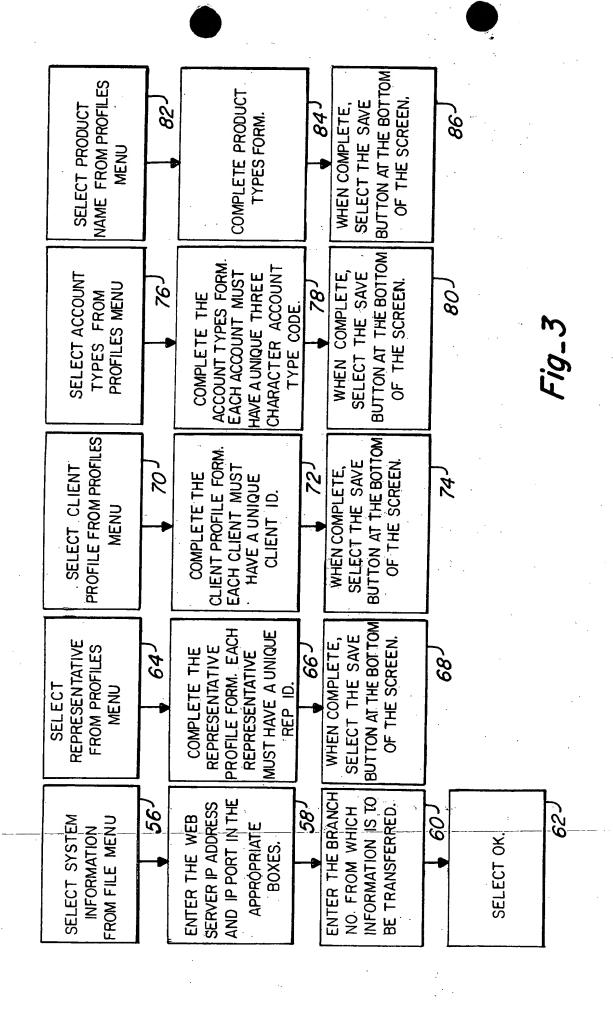
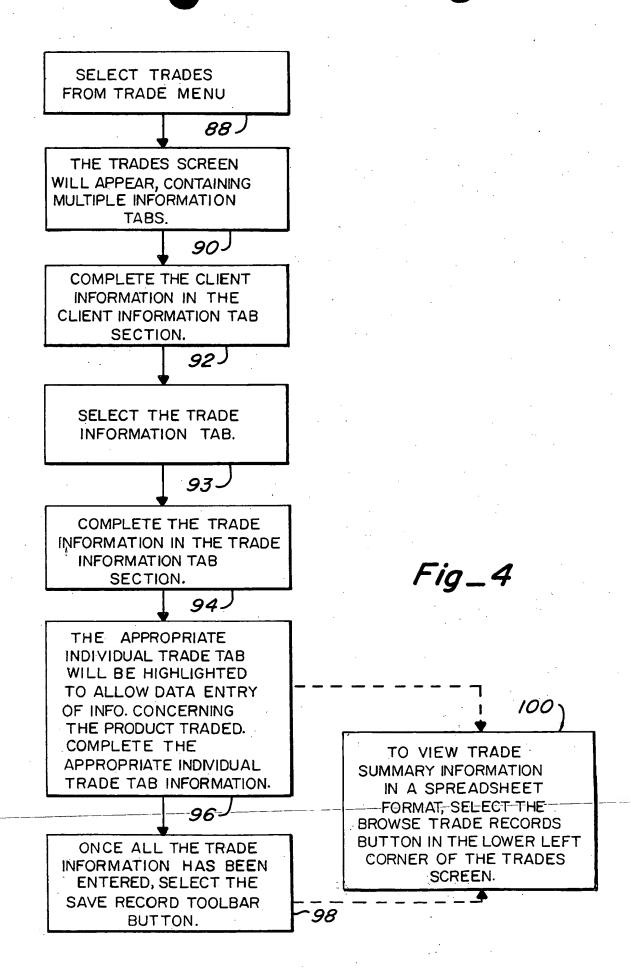
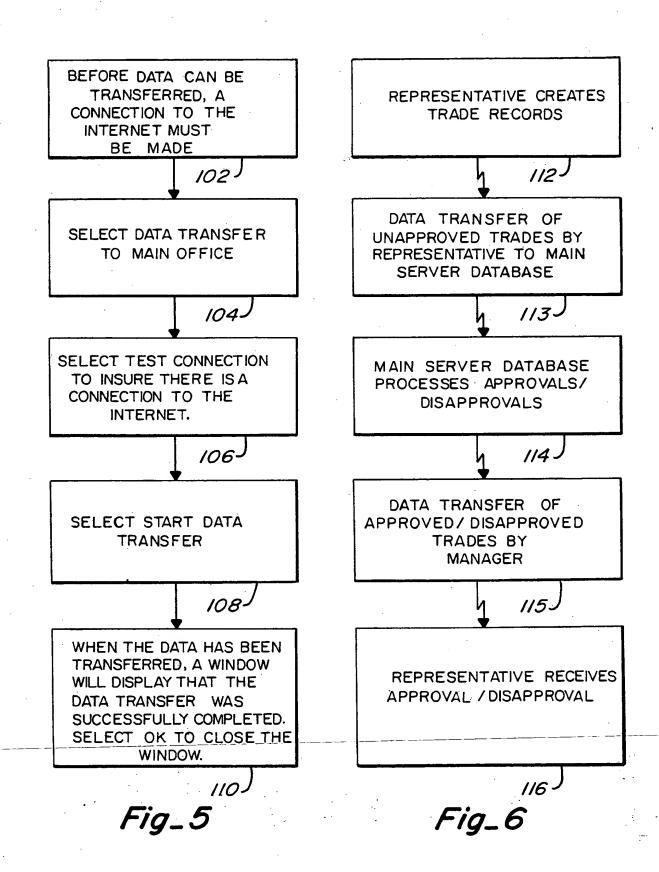
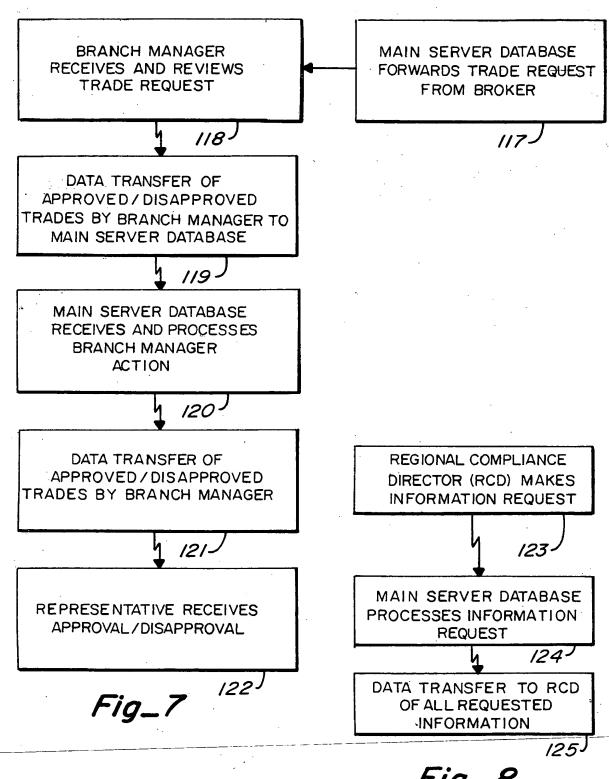


FIGURE 2D









Fig_8

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stion	1				ber 110-10	i i		LOCAL			WEB Server IP Address: 0.0.0.0	T.				
System Information		Company Name	stemID:	License Number	aintenance Núm	Install Date:	piration Date:	DBMS Type	rtabase Path:		EB Server IP Ac	WEB Server IP-Port	Branch No.	一 一 一 一 一 一 一 一 一 一 一 一 一 一 一 一 一 一 一		
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FIGURE 9

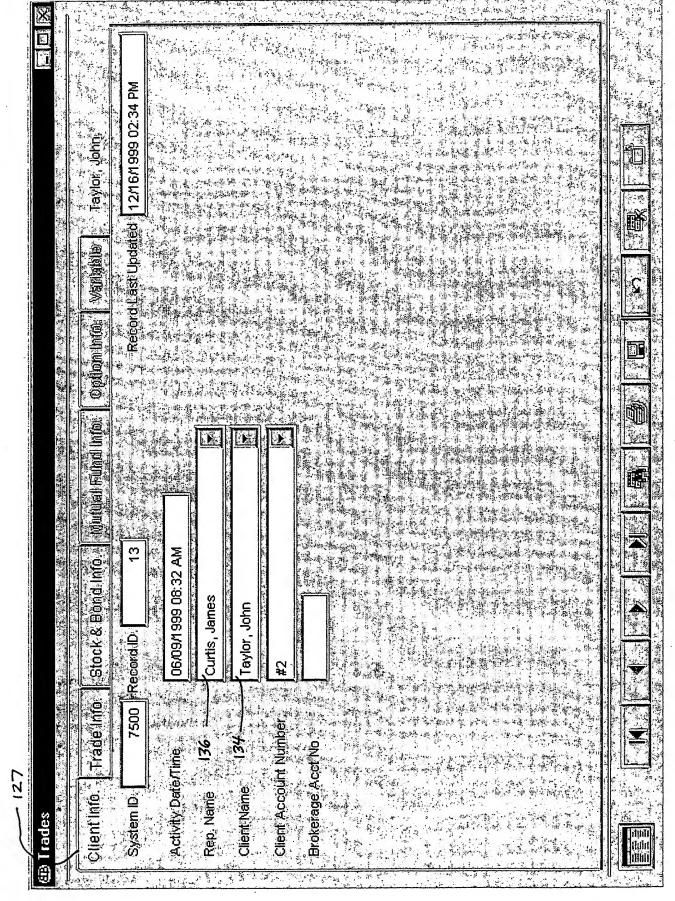


FIGURE 10

@ Trades			Service Control of the Control of th	The second secon		X
Cilenting Trade	Trade Info Stock & Bondinfo	With all Flund Infor-	regy reginination	Iable Taylor J		
Trade Caregoly 38 C Stocks & Bonds C	3	urual Funds 🕆 💭 Options	Ó variable.			
Irade Type (40 Csolicitéd ©	C) Solicited (O) Unsolicited		Cibiscretionary.	• Non-discretionar		
Product Name	Gold Models					
Cty Traded 122	40.0000 Share NA	A.V.Brice	80.0000 Execute	Executed/Price		
Time Received up	ዐላΜ	/Infe Phoned 06/02/1999 12:00 AM		Settlement Date 11		
Order Placed With	Susan		eed BW Barry			
Check Amt	490.00 Cheek No.	9876 Che	check Received 06/02/1999	elidde fillionii (B	d 490.00	100
Date Sent	16.001 /1 999 Semt√To.	Acorn		A CONTROL OF THE PARTY OF THE P		
ON AISINO	Celt. No.					
Investment Objectiv	115	all that apply)				
L ongressive Gröv	Longsterm Sapital Appareciation					
☐ Balance Growth	With facone					
Speculātive/High	Safety Speculative High Risk Migh Risk % of Capital					ALCOS
die G		HOUSE AND THE STREET	anich /4pproval			

FIGURE 11

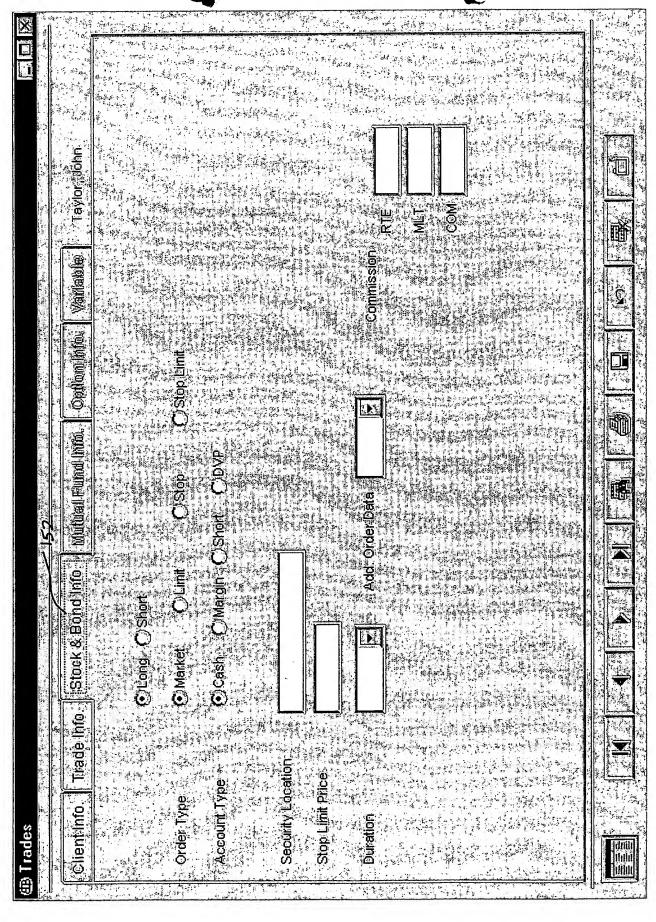


FIGURE 12

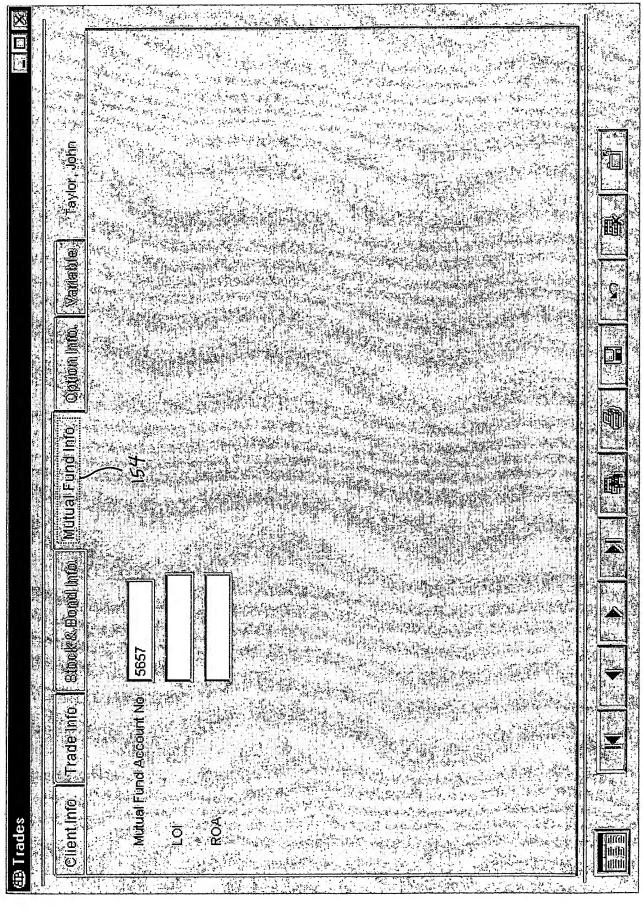


FIGURE 13

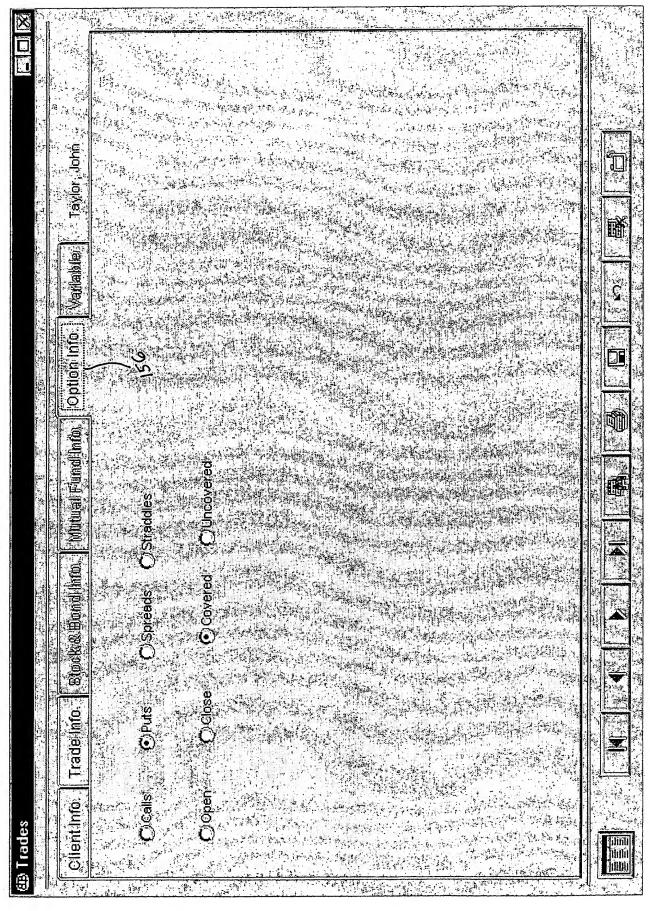


FIGURE 14

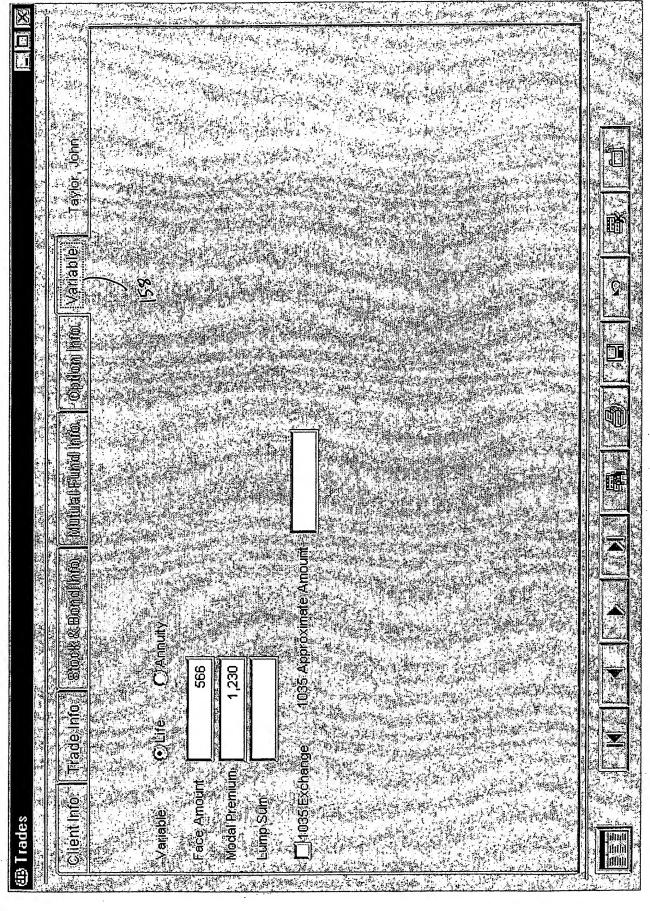


FIGURE 15

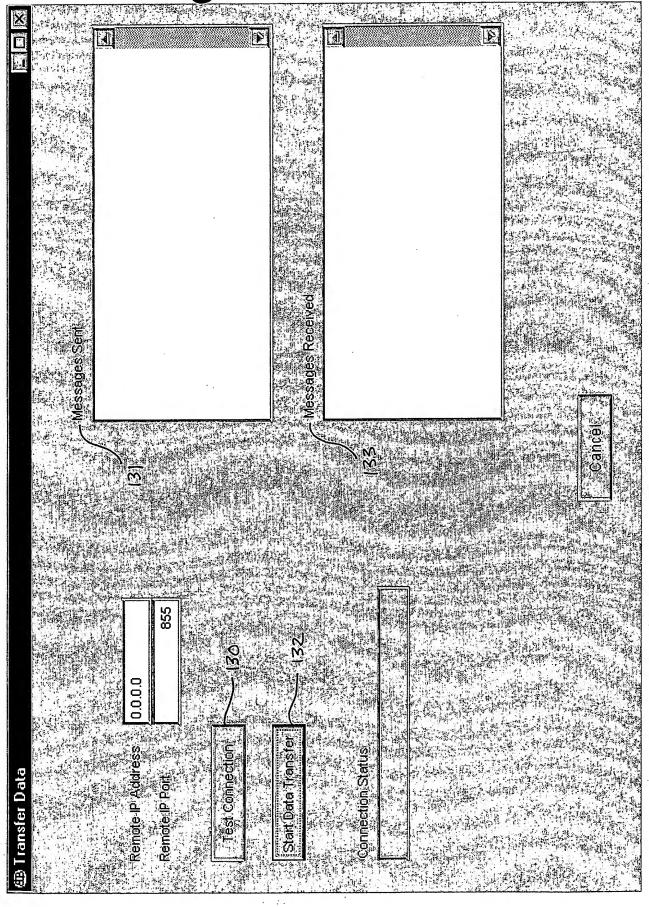


FIGURE 1

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													•									N
	d IDs Activity Debe/Ame		_	<i>†</i> 91																		
ndow to exit	$ \cdot \cdot = \cdot $	Barber, Floyd	l Doe, John	l Moore, Ryan	Pyle, Gomer	Smith, Jane	l Smith, Jane	Smith, Jane	i Taylor, Andy	i Taylor, John	l Taylor, John	i Taylor, John	i j Taylor, John									
e key or click outside of window to exit	stratify DeteAlthie	05/03/1999 09:31:30 AM Barber, Floyd	9 06/02/1999 12:35:51 PM Doe, John	7 08/04/1999 02:01:25 PM Moore, Ryan	05/03/1999 09:32:47 AM Pyle, Gome	1 06/08/1999 08:58:27 AM	2 06/08/1999 09:16:20 AM	5 07/09/1999 04:24:49 PM	05/03/1999 09:34:32 AM	05/03/1999 09:33:34 AM	5 05/04/1999 07:50:15 AM	10 06/08/1999 08:52:47 AM	13 06/09/1999 08:32:42 AM Taylor, John									
		1 05/0)/90 6 /	162 17 08/0	2 05/1	11 06/1	12 06/1	15 07/1	4 05/1	3 05/1	5 05/1	10 06/1	13 06/1									
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			EZM		e.k						122			世為	24	men.	dassi.		Cit			

FIGURE 17

168 Dally Trade Blotter

Date	Cilent Name	Account Number	Sell Sell	Oty Traded	Product	Price	Exec Price	\$ Amt	Rep No.	initials
12/28.49 Smith, Jane	Smith, Jane	1#	Buy	750.0000	750.0000 Gold Models	860,0000	0.0000	00:0	4000	
12/28/49 Doe, John	Doe, John	9#	Buy	0.0000	0.0000 Caesar Marketing	0.0000	0.0000	00'0	2000	
12/28/pg Taylor, John	Taylor, John	#1	Sell	0.0000	0.0000 MGM Grand Hotel	00000	0.000	00:00	3000	
12/28/99 Taylor, John	Teylor, John	#2	Buy	0.000	0.0000 Deluxe Travel Systems	0.000	0.0000	5,000.00	4000	
12/28/99 Taylor, John	Taylor, John	#2	Buy ,	0.0000	0.0000 Caesar Marketing	0.000	0.000	00.00	4000	
12/28/99 Doe, John	Doe, John	#5	Buy	0.000	0.0000 Deluxe Travel Systems	0.0000	0.0000	2,500.00	4000	
12/28/99 Teylor, John	Taylor, John	#2	Buy	60.0000	60.0000 Deluxe Travel Systems	300,000	0.0000	00:00	2000	
(2/28/99 Smith, Jane	Smith, Jane	47	Buy	6.0000	5.0000 MGM Grand Hotel	12.0000	0.0000	0.00	3000	
(2/28/99 Smith, Jane	Smith, Jane	2#	Buy	6.0000	5.0000 MGM Grand Hotel	40,0000	0.0000	4,500.00	4000	
12 28 Aq Taylor, John	Taylor, John	#2	Sell	40.0000	40.0000 Gold Models	80.0000	0.0000	490.00	4000	
12-128/99 Smith, Jane	Smith, Jane	#7	Buy	0.000	0.0000 Caesar Marketing	0.0000	0.000	00.0	3000	

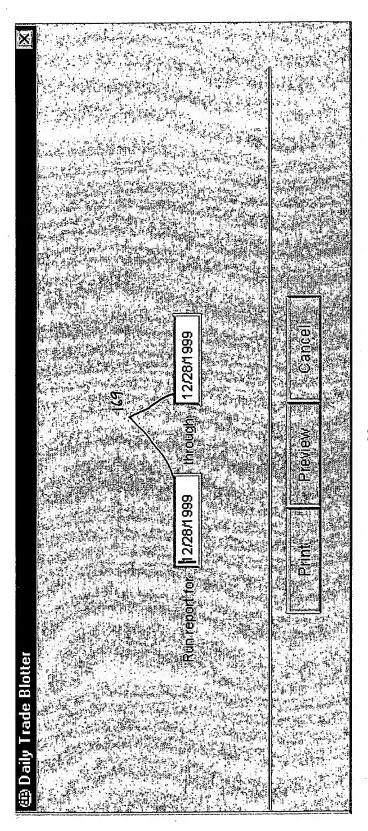


FIGURE 19

170 Checks/Securities Received Blotter

initials

Rep No.

Barneton and Control of Control	The same of the sa	The second secon			The state of the s	The second secon	
Ck Rec'vd Name	Name	Description	Check No.	/ CUSIP No. Oty	Qty	Sent To	Date Sent
05/02/1999 Taylor, John	Taylor, John	Deluxe Travel Systems	2345	,	0.000	0.0000 John Doe	05/03/1989
08/01/1999 Smith, Jane	Smith, Jane	MGM Grand Hotel	2599	/4775	6.0000	5.0000 Mary Scott	06/02/1999
06/01/1999 Doe, John	Doe, John	Deluxe Travel Systems	1599	/	0.0000	0.0000 Brokers Ltd.	06/02/1999
06/02/1999 Taylor, John	Teylor, John	Gold Models	9/86		40.0000 Acom	Acom	06/01/1999

FIGURE 20

4000

4000

4000

08/03/1999 09:49 AM

172 BUY & SELL TICKET

Buy/Sell Buy	Short/Long Long	Day/Open/Market Market	Activity date 05/03/1999 09:31 AM		Settleme //	nt date
Quantity	Symbol	Limit amount	Execute price		Security	location
750.0000	GMB	0.00		0.0000		
Securities Description	Gold Models					
Client name	Smith, Jane					Account # #7
Payment type	Cash				-	
Rep#	4000	Brokeracc	t		Solicited	Unsolicited
Time	Received fr	om client 04/29/19	99 09:00 AM	Time phone	đ	04/30/1999 12:00 AM
Order Placed wit	h Jane			by Mary		
Commission	RTE 0.00		MILT 0.00	CC	0.00 MC	

Options

Calls/Puts/Spreads/Straddles	Calls	
Open/Close/Covered/Uncovered	Open	

Mutual Funds

TU					
ii 	Acct# 5634	LOI	0	ROA	0



Name		Company Name	
Doe, John	· .		
Address		Joint Account Name	
85776 Mulberry Lane		Pyle, Glenda	. ·
			•
Walnut Grove, IL 47788-			
Home Phone	Business Phone	·	
614-988-3775		·	

Product	Account Type	Date	Boug	ht	Sc	old .	
			Qty	Price	Qty	Price	
Caesar Marketing	Trust	05/03/1999		4			
Deluxe Travel Systems	Trust .	06/02/1999					

08/03/1999 10:08 AM



Security Name Gold Models

Client Name	Qty Traded	Activity Date	Price
Taylor, John	40.0000	06/09/1999 08:32 AM	80.0000
Smith, Jane	750.0000	05/03/1999 09:31 AM	860.0000

FIGURE 23

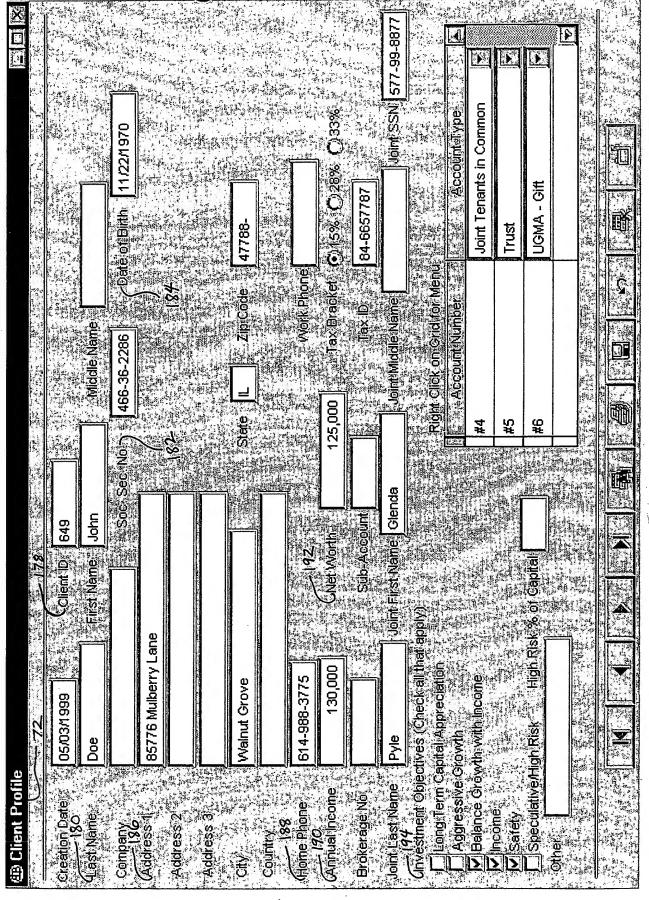


FIGURE 24

© Representative Profile		X O
RepilD \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	4000	
Last Name 7 48	Curtis Eirst Name James Middle Name	
Address 1 ~ 7.00	91 Dogwood Drive	
Address 2		
Addlessia		
Oly	Leadville State CO Zip Code 81123	
Country 22		
Work Phone	303-956-2219 303-775-8842	
E-mail Address	scurtis@aol.com	
Office Name	Pine Branch	
Branch Office	ABIGNON 200	
OSUOTIGE		
Enter additional license information	Information:	
☐ Series 6	✓ Series 63	
☐Series.7	☐Series 65.	
Series 24		
∬Series 26		

FIGURE 25

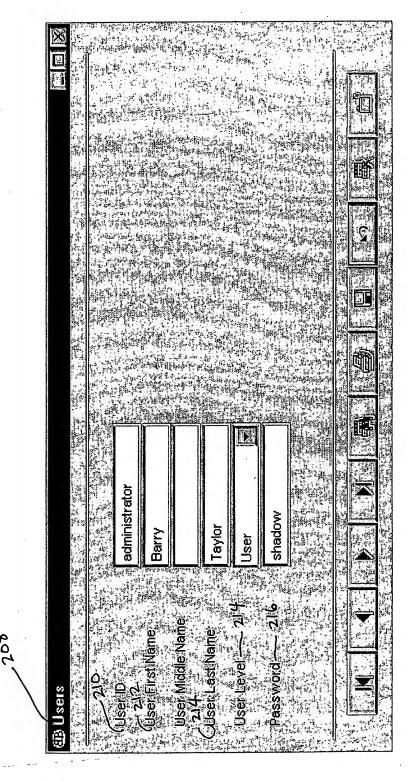


FIGURE 26



BrokerBooks Trade Audit Report

Record	ID. User ID.	Password	Change Date/Time
1	JohnB	Books	06/16/1999 12:01:49
s:			
Old:	Product Name: Best Fu	ınds	
New:	Product Name: Entrep	rise Funds	
	•		
Record	ID. User ID.	Password	Change Date/Time
1	JohnB	Books	06/17/1999 11:41:35
s:			
Old:	Share/NAV Price: \$10	0.00	
New:	Share/NAV Price: \$11	0.00	
Record	ID. User ID.	Password	Change Date/Time
13843	JackCL	PASS	06/16/1999 12:01:49
<u>s</u> :			
Old:	Qty. Traded: 150		
New:	Qty. Traded: 250		
	. ,		
Record	ID. User ID.	<u>Password</u>	Change Date/Time
0 4 4 5 0	10256	ARCEGH	06/16/1999 2:10:33
84453	10230	ADCI GII	00,10,1,,,, 2,110,00
84453 <u>s</u> :	10230	Aberon	00/10/1999 2/10/09
	Stop Limit Price: 130	Aberdir	
	Old: New: Record Old: New: Record Record 13843 S: Old: New: Record Record Record	1 JohnB S: Old: Product Name: Best Fu New: Product Name: Entrep Record ID. User ID. 1 JohnB S: Old: Share/NAV Price: \$ 10 New: Share/NAV Price: \$ 11 Record ID. User ID. 13843 JackCL S: Old: Qty. Traded: 150 New: Qty. Traded: 250 Record ID. User ID.	1 JohnB Books S: Old: Product Name: Best Funds New: Product Name: Entreprise Funds Record ID. User ID. Password 1 JohnB Books S: Old: Share/NAV Price: \$ 100.00 New: Share/NAV Price: \$ 110.00 Record ID. User ID. Password 13843 JackCL PASS S: Old: Qty. Traded: 150 New: Qty. Traded: 250 Record ID. User ID. Password

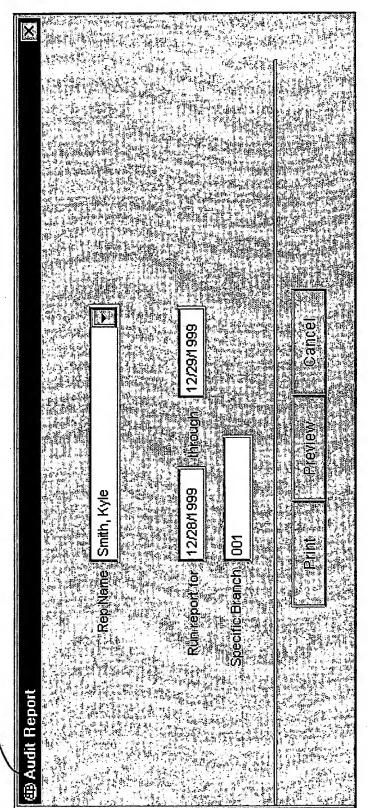


FIGURE 28

212 -> LOGIN REPORT

LOGINI	TIME	SYSTEM ID	USER ID	PASSWORD	SUCCESS
05/03/19	99 09:28:00	1000	administrator	password	Yes
	99 09:43:36	1003	administrator	-	Yes
	99 09:44:54	1002	administrator	password	No
05/03/19	99 09:46:46	1002	administrator	•	Yes
05/03/19	99 09:46:53	1002	administrator	password	Yes
05/03/19	99 09:48:34	1001	administrator	-	No
05/03/19	99 09:49:44	1001	administrator	_	Yes
05/03/19	99 09:50:15	1003	administrator	•	No ,
05/03/19	99 09:50:52	1000	administrator	password	Yes
05/03/19	99 09:51:48	1002	administrator	_	Yes
05/03/19	99 10:00:32	1000	administrator	houston	Yes
05/03/19	99 10:36:37	1000	administrator	password	Yes
05/03/19	99 10:37:03	1000	administrator	password	Yes
05/03/19	99 10:39:00	1000	administrator	password	No
05/03/19	99 10:39:16	1000	administrator	houseton	Yes
05/03/19	99 10:55:07	1000	administrator	houston	Yes
05/03/19	99 10:55:20	1000	administrator	password	Yes
05/03/19	99 10:55:47	1000	administrator	orange	Yes
05/03/19	99 10:56:06	1000	administrator	password	Yes
	99 10:56:40	1000	administrator		No
•	99 10:56:55	1000	administrator	password	Yes
	99 11:07:44	1001	administrator	•	Yes
	99 11:08:05	1001	administrator	-	Yes
	99 11:12:47	1001	administrator		No
	99 11:14:43	1002	administrator	-	Yes
	99 11:15:15	1002	administrator	-	No
	99 11:15:54	1000	administrator	-	Yes
	99 11:19:05	1001	administrator		No
	99 11:19:23	1001	administrator		Yes
	99 11:20:14	1001	administrator	•	Yes
	99 09:25:22	1841	administrator		No
	99 09:26:38	1841	administrator		Yes
	99 09:29:30	1841	administrator	•	No
	99 09:55:04	1841	administrator	7	Yes
	99 10:07:59	1841	administrator	•	No
	99 10:45:09	1000	manager1	password	No
06/15/19	99 11:05:44	1000	manager1	password	Yes
			-	· · · · · · · · · · · · · · · · · · ·	

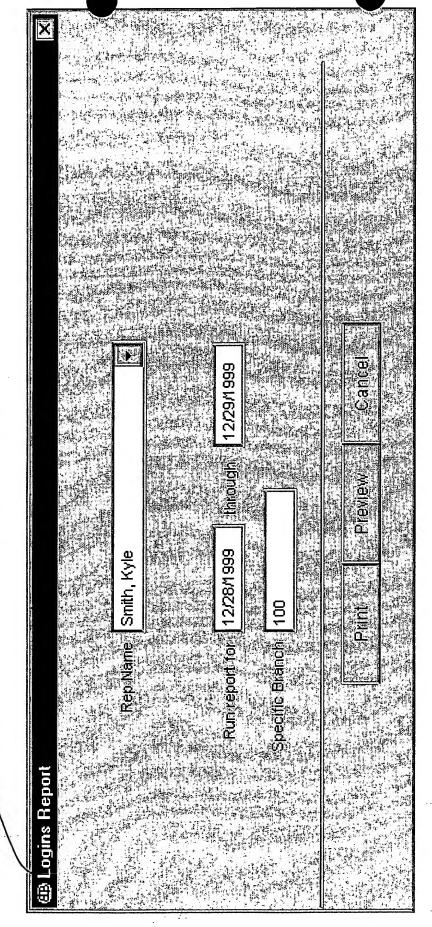
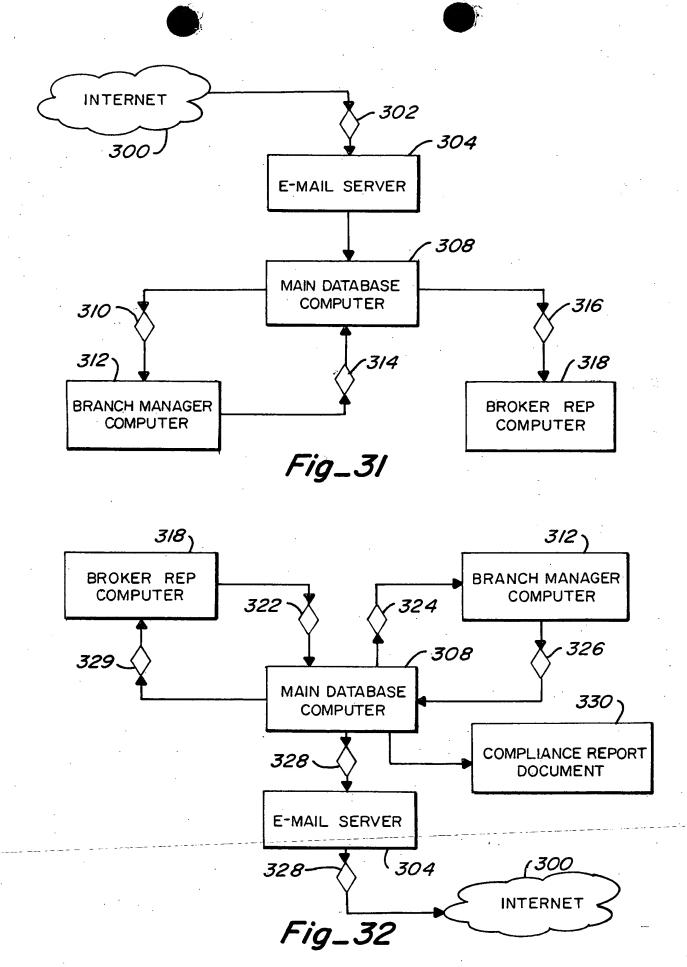


FIGURE 30



	New Mess	12/06/99 12/07/99 12/08/99	
	Sentillens	12/05/99 03:08:24 PM 12/06/99 05:16:17 PM 12/08/99 10:08:34 AM	DaverRogers Mutualsrundsrenser
336	Eraneh Outbox	Mutual fund purchase Trade order	ार्क - Davets S Sublect (Mulual) you have questions regarding the attachments Kyle Smi
334	Book (I)	Mutus Trade Trade	is Service du Fyou have qu
332		Kyle Smith Kyle Smith John Doe	From: Kyle Smith 18wed by: Paufikoss re, Please contact me if y
<i>5</i> 30 ⊕ Bß E-Mail		A Kyle S	Reviewed Dave, Please

FIGURE 33

FIGURE 34

Amount	@ 88 E-Mail	ail				
Mutual fund purchase 538 Option purchase Trade order	oqui)		ीप[िक्कार (व्या	ing in the contract of the con	Sequillems	New Messege
Kyle Smith 358 Option purchase Kyle Smith 358 Option purchase John Doe Trade order Subject: Mutualfundstourchase Fig. 18/16/86/8/mith* Subject: Mutualfundstourchase Fig. 18/16/8 Kyle, Please contact me regarding this mutual fund purchase. Dave Rogers		i j		alibjed 💎 📜		
Kyle Smith Uption purchase John Doe Trade order In the Tion William Smith Smi	ua c	(yle Smith	338	Mutual fund purchase	12/1	07/99 10:14:56 AM
Subject Minual Junio Purchase Kills Kyle Smith Colors Contact me regarding this mutual fund purchase. Dave Rogers	21 SQ			Uption purchase Trade order	12/1	08/99
Elease contact me regarding this mutual fund p		:				
E Subject Mutualifundipurchase Extraction please contact me regarding this mutual fund p						∞׫«»
[1] (Subject : Mutwalivangers () () () () () () () () () (No.				
English Englis						
Explored Baye Rogers & Contact Washingtong this mutual fund p						>>>
Eroini BavelRögers R. E. C.						***************************************
ি দিলিলে ' ভিৰুণ্ড দিত্তুলৈং' ১১ উটাইভিল্লে ' শিটাইখালিলাই সিল্টাইখালেং পৈন, Please contact me regarding this mutual fund p	ii.					E
ýle, Please contact me regarding this mutual fund p		Vojak D Heet W	ම දිනිල්ලාප සේ (මාක් ල	nichase Urchase	Tet Kiesanin	
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Ettm		Subject		Approvedizajede	ed Majarayed/Refeeted by	
		Mutual fund purchase		2/08/99	Paul Ross	А
图图	Kyle Smith	Option purchase	239	12/09/99	Paul Ross	4
	John Doe	Trade order	-	11		
				_		
\$14.EE						
2024						
	•					
Men's						
2134						
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						1
	Standar Delve Binders				是一个一个一个一个一个一个一个一个一个一个一个一个一个一个一个一个一个一个一个	
	Approved by: Pauli Ross			eet Mulbaliond		
一	Kyle,					Z
	Please contact me regard	regarding this mutual fund purchase.	ırchase			
			Dave Rogers	ogers	,	
				-		
						Б

FIGURE 38

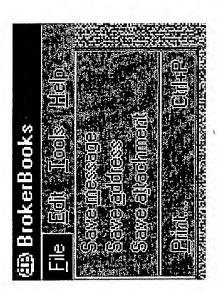


FIGURE 39

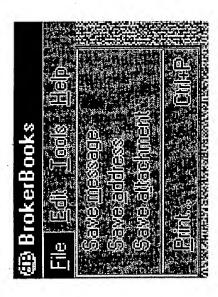


FIGURE 42

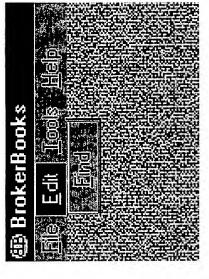


FIGURE 40

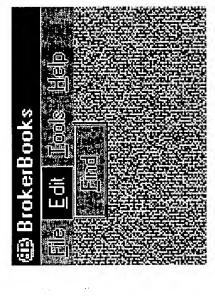


FIGURE 43

Althorized Authors Earth Subject Earth	(B) BB E-Mail						×
Stock purchase	Į.	्राज्याक्र	Erremen Outbo	20	Sentillems	New Message	
12/08/99 03:08:24 PM	notel		Subjeat		Sent)	Pygipiretese	
Trade order 340 340 Is been approved. Please call if you have questions. Dave Rogers		mith	Stock purchase		12/08/99 03:08:24 PM	1 2/08/99	
340 Subject Stocklourchase stables call if you have questions. Dave Rogers		wis	Trade order	_	12/09/99 05:16:17 PM	12/09/99	
1340 Its been approved. Please call if you have questions. Dave Rogers	23.00 [1			_			
INSTANCE OF THE STATE STATE OF THE STATE OF				340			
INSTANTING TO THE AUTHORITY OF THE AUTHO				2			
Is been approved. Please call if you have questions. Dave Rogers	·	-					
Is been approved. Please call if you have questions. Dave Rogers	1 m						
ISE Extra transfer Tries Exaute Smith 文本	1. ·						
Is been approved. Please call if you have questions. Dave Rogers							
Is been approved. Please call if you have questions. Dave Rogers							
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Is been approved. Please call if you have questions. Dave Rogers	Tuzar						
Is the control of the second o							S
গঙ - শুকু শুকুমান্ত উদ্যোধন স্থানি জ্বাধন জ	匝						<u>~</u>
as been approved. Please call if you have questions. Dave Rogers	Finance			16g 1	म्मिक्टा डॉन्मापि		
as been approved. Please call if you have questions. Dave Rogers	් එමනැමැත්මේ මින්ද	Paul Ross			odkomese		
as been approved. Please call if you have questions. Dave Rogers	Ms. Smith,						KU KU
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FIGURE 41

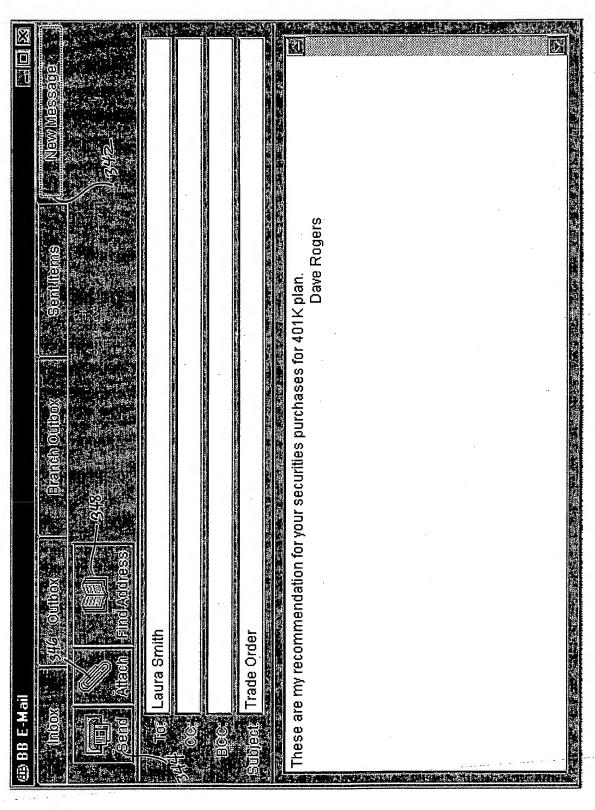


FIGURE 44



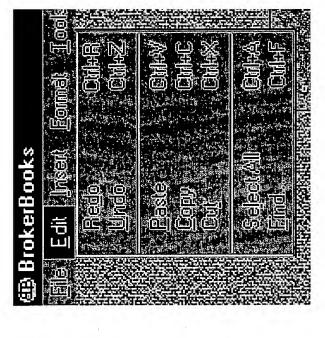


FIGURE 46

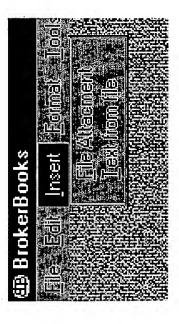


FIGURE 47

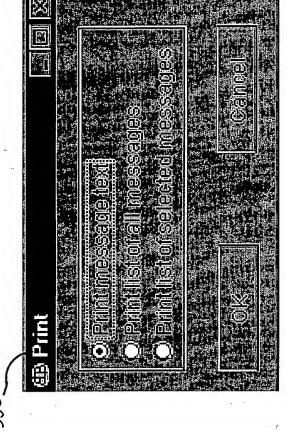


FIGURE 48

FIGURE 49

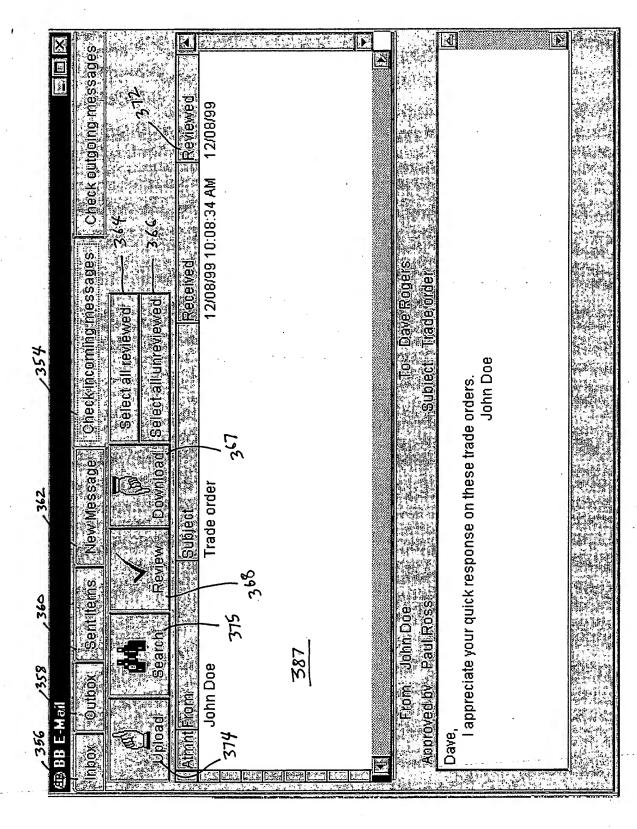
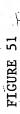


FIGURE 50



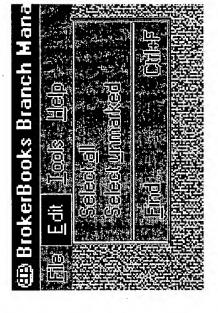


FIGURE 52



FIGURE 53

FIGURE 54

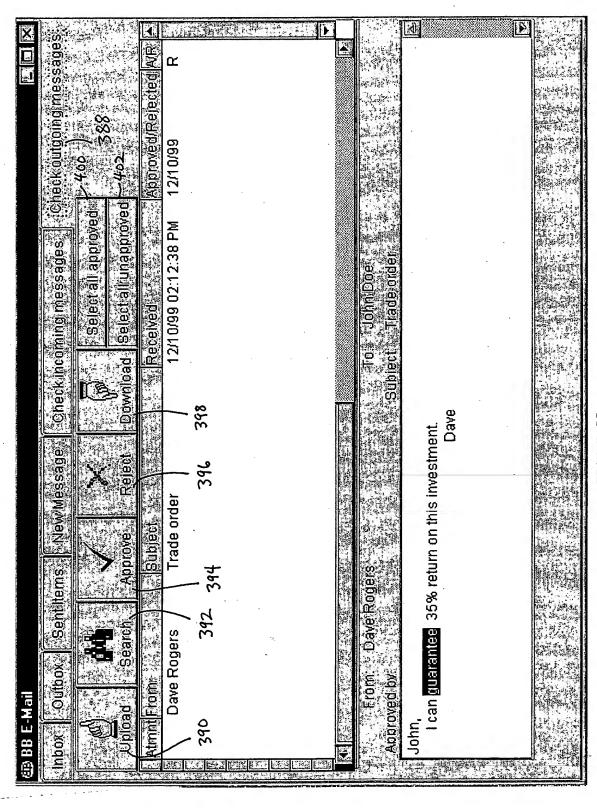


FIGURE 55

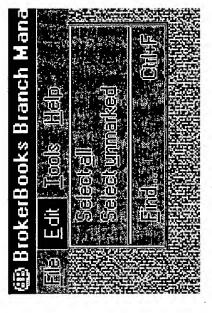


FIGURE 57

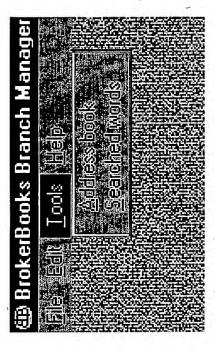


FIGURE 58

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FIGURE 59